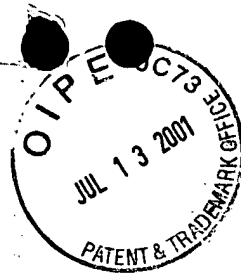




**FOLEY  
HOAG**  
ATTORNEYS AT LAW



*Section #3*

July 9, 2001

Kevin Oliver  
Boston Office  
617.832.1241  
wdevaul@foleyhoag.com

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, DC 20231

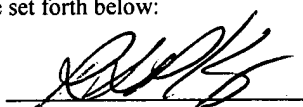

Re: U.S. Patent Application No.: **09/817,555**  
Entitled: *Systems and Methods for Correcting Supply/ Demand  
Imbalances in Multi-Tier Exchanges*  
Filed: March 26, 2001  
By: C. Speicher and J. Hirschman  
Docket No.: SMK-001.01

Dear Sir:

In response to the Notice to File Missing Parts mailed May 7, 2001, Applicants enclose for filing in the above-referenced patent application the following:

1. This Missing Parts Transmittal Letter with Certificate of First Class Mailing;
2. A copy of the Notice to File Missing Parts of Nonprovisional Application;
3. 6 Sheets of Substitute Drawings in compliance with 37 CFR 1.84; and
4. A return receipt postcard.

The Commissioner is hereby authorized to charge any underpayments or credit any overpayments to our Deposit Account No. 06-1448.

Certificate of First Class Mailing	
<p>I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Box Missing Parts, Assistant Commissioner for Patents, Washington, DC 20231 on the date set forth below:</p> <p><u>July 9, 2001</u> Date</p> <p> Robert King</p>	<p>Respectfully submitted, FOLEY, HOAG &amp; ELIOT LLP</p> <p></p> <p>Kevin Oliver Reg. No. 42,049 Attorney for Applicants Customer ID No. 25181</p>

20/463614.1



SMK-00101

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/817,555	03/26/2001	Charles Speicher	025181

025181  
FOLEY, HOAG & ELIOT, LLP  
PATENT GROUP  
ONE POST OFFICE SQUARE  
BOSTON, MA 02109

CONFIRMATION NO. 9356

FORMALITIES LETTER



\*OC00000006045766\*

*Missing Parts*  
**DUE:** 7.7.01  
**FINAL:** 12.7.01

*Correct Informalities*  
**DUE:** 7.7.01

Date Mailed: 05/07/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

FILED UNDER 37 CFR 1.53(b)

**Filing Date Granted**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

07/17/2001 HADDI1 00000088 061448 09817555

01 FC:205 65.00 CH

A copy of this notice MUST be returned with the reply

**RECEIVED**

BB 5/14  
MAY 14 2001

PATENT DEPT.  
DOCKETING

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE